

<b>VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN</b>			<b>Docket No.</b> <b>031855.0092</b>
<b>Application No.</b> <b>09/769,744</b>	<b>Filing Date</b> <b>January 26, 2001</b>	<b>Patent No.</b>	<b>Issue Date</b>
<b>Applicant/ Patentee:</b> <b>Richard William Falla LE PAGE et al.</b>			
<b>Invention:</b> <b>NUCLEIC ACIDS AND PROTEINS FROM STREPTOCOCCUS PNEUMONIAE</b>			
<p>I hereby declare that I am:</p> <p><input type="checkbox"/> the owner of the small business concern identified below:</p> <p><input checked="" type="checkbox"/> an official of the small business concern empowered to act on behalf of the concern identified below:</p> <p><b>NAME OF CONCERN:</b> <u><b>Microbial Technics Limited</b></u></p> <p><b>ADDRESS OF CONCERN:</b> <u><b>38 Station Road, Cambridge, CB1 2JH, United Kingdom</b></u></p> <p>I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.</p> <p>I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above-identified invention described in:</p> <p><input type="checkbox"/> the specification filed herewith with title as listed above.</p> <p><input checked="" type="checkbox"/> the application identified above.</p> <p><input type="checkbox"/> the patent identified above.</p> <p>If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).</p>			

Each person, concern or organization to which I have assigned, granted, conveyed or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below:

- ☒ No such person, concern or organization exists.
- ☐ Each such person, concern or organization is listed below.

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: \_\_\_\_\_

Richard W.F. LE PAGE

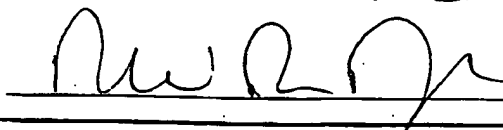
TITLE OF PERSON SIGNING  
OTHER THAN OWNER: \_\_\_\_\_

DIRECTOR

ADDRESS OF PERSON SIGNING: \_\_\_\_\_

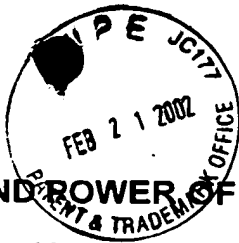
38 STATION ROAD  
CAMBRIDGE CB2 1JH

SIGNATURE: \_\_\_\_\_



DATE: \_\_\_\_\_

12 September  
2001



Attorney Docket No.: 031855.0092

## DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name;

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### NUCLEIC ACIDS AND PROTEINS FROM STREPTOCOCCUS PNEUMONIAE.

the specification of which: ☐ is attached hereto.  
☒ was filed on: January 26, 2001  
 as Application No.: 09/769,744  
 and was amended on: \_\_\_\_\_ (if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

And I hereby authorize and request our agents, Brobeck, Phleger & Harrison LLP, whose address is set forth below, to insert above, the filing date and application number of said application when known.

### Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Date of Filing (day, month, year)	Date of Issue (day, month, year)	Priority Claimed	
GB	9816336.3	July 27, 1998		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
				Yes <input type="checkbox"/>	No <input type="checkbox"/>

### Prior Provisional Application(s)

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing (day, month, year)
60/125,329	March 19, 1999

**Prior United States Application(s)**

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<b>Application Number</b>	<b>Date of Filing (day, month, year)</b>	<b>Status – Patented, Pending, Abandoned</b>
<b>PCT/US99/02452</b>	<b>27 July 1999</b>	<b>Pending</b>

And I hereby appoint, both jointly and severally, as my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith the following attorneys, their registration numbers being listed after their names:

Rodger L. Tate, Registration No. 27,399; Anthony W. Shaw, Registration No. 30,104; Cono A. Carrano, Registration No. 39,623; Laurence H. Posorske, Registration No. 34,698; Robert A. King, Registration No. 42,738; and Trevor Q. Coddington, Registration No. 46,633.

All correspondence and telephone communications should be addressed to: Brobeck, Phleger & Harrison LLP; Intellectual Property Department; 1333 H Street, N.W.; Suite 800; Washington, DC 20005; telephone number (202) 220-6000; facsimile number (202) 220-5200, which is also the address, telephone and facsimile numbers of each of the above listed attorneys.

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BROBECK, PHLEGER & HARRISON LLP  
Intellectual Property Department  
1333 H Street, N.W.  
Suite 800  
Washington, D.C. 20005  
(202) 220-6000 (telephone); (202) 220-5200 (facsimile)

Signature

Full Name of  
First Inventor:  
**LE PAGE**  
(Family Name)**Richard William**  
(First Given Name)**Falla**  
(Second Given Name)Date 5 Sep 2001

Citizenship:

United Kingdom

Residence:

London, United Kingdom

Post Office

Address:

c/o University of Cambridge, Department of Pathology, Tennis Court Road  
Cambridge CB2 1QP, United Kingdom

Signature

Full Name of

Second Inventor:

**WELLS**  
(Family Name)**Jeremy**  
(First Given Name)**Mark**  
(Second Given Name)

Date \_\_\_\_\_

Citizenship:

United Kingdom

Residence:

Norwich, United Kingdom

Post Office

Address:

c/o Institute of Food Research, Norwich Laboratory, Norwich Research Park,  
Colney, Norwich NR4 7UA, United Kingdom.

Signature

Full Name of  
Third Inventor:  
**HANNIFFY**  
(Family Name)**Sean**  
(First Given Name)**Bosco**  
(Second Given Name)Date 5 Sep 2001

Citizenship:

Ireland

Residence:

Cambridge, United Kingdom

Post Office

Address:

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Attorney Docket No.: 031855.0092

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Signature \_\_\_\_\_

Date \_\_\_\_\_

Full Name of  
First Inventor:**LE PAGE**  
(Family Name)**Richard William**  
(First Given Name)**Falla**  
(Second Given Name)

Citizenship: United Kingdom

Residence: London, United Kingdom

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Address:

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Cambridge CB2 1QP, United Kingdom

Signature \_\_\_\_\_

Date 16-9-01

Full Name of

Second Inventor:

**WELLS**  
(Family Name)**Jeremy**  
(First Given Name)**Mark**  
(Second Given Name)

Citizenship: United Kingdom

Residence: Norwich, United Kingdom

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Third Inventor:**HANNIFFY**  
(Family Name)**Sean**  
(First Given Name)**Bosco**  
(Second Given Name)

Citizenship: Ireland

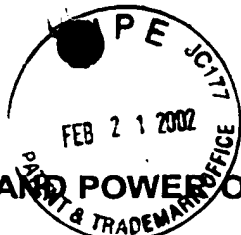
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Washington, D.C. 20005  
(202) 220-6000 (telephone); (202) 220-5200 (facsimile)

Signature \_\_\_\_\_

Full Name of  
First Inventor:**LE PAGE**

(Family Name)

**Richard William**

(First Given Name)

**Falla**

(Second Given Name)

Citizenship:

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Cambridge CB2 1QP, United Kingdom

Signature \_\_\_\_\_

Full Name of  
Second Inventor:**WELLS**

(Family Name)

**Jeremy**

(First Given Name)

**Mark**

(Second Given Name)

Citizenship:

United Kingdom

Residence:

Norwich, United Kingdom

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Colney, Norwich NR4 7UA, United Kingdom.

Signature \_\_\_\_\_

Full Name of  
Third Inventor:**HANNIFFY**

(Family Name)

**Sean**

(First Given Name)

**Bosco**

(Second Given Name)

Citizenship:

Ireland

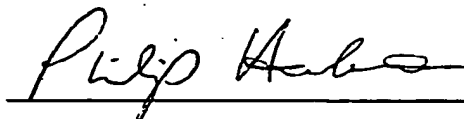
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Washington, D.C. 20005  
(202) 220-6000 (telephone); (202) 220-5200 (facsimile)

Signature



Date 15-2-02

Full Name of

Fourth Inventor:

**HANSBRO**

(Family Name)

**Philip**

(First Given Name)

**Michael**

(Second Given Name)

Citizenship:

United Kingdom

Residence:

Newcastle, Australia

Post Office

Address:

c/o Centre for Biomolecular Vaccine Technology (CBVT), Discipline of  
Immunology & Microbiology, (Faculty of Medicine & Health Sciences, University  
Of Newcastle), David Maddison Clinical Sciences Building, Royal Newcastle  
Hospital, Newcastle, NSW 2300, Australia.

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